

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION OF: PHILLIPS ET AL.

OUR FILE NO: 78384 (18-32 US DIV1)

SERIAL NUMBER: 10/706,142

FILED: 11/12/2003

**TITLE: METHODS FOR FORMING SECURITY ARTICLES HAVING DIFFRACTIVE
SURFACES AND COLOR SHIFTING BACKGROUNDS**

CONFIRM NO: 6069

Information Disclosure Statement

EFILED

Commissioner for Patents

Dear Sir:

Transmitted herewith is an Information Disclosure Statement (Form PTO-1449A) in the above-captioned application with references. In accordance with current USPTO procedures published 05 AUG 2003, in 1276 OG 55, copies of the U.S. patent documents cited in the form 1449A are not attached.

Certification

 X This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies, or
- (iv) before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.

 This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant in the above-identified application.

 This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. §1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. §1.97(c) and § 1.17(p) is submitted herewith.

_____ This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to §1.17(i) (1) are submitted herewith.

_____ A certification under 37 C.F.R. §1.97 is submitted herewith separately from this paper.

_____ It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

_____ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,



David L. Stewart
Reg. No: 37,578

October 10, 2007

Date: _____

CUSTOMER NO. 27975